DOCUMENT RESUME

ED 389 234 FL 801 089

TITLE Model ESL Transitional Demonstration Programs.
INSTITUTION Office of Vocational and Adult Education (ED), Washington, DC. Adult Learning and Literacy Clearinghouse.
PUB DATE Jul 95
NOTE 67p.; Appendixes contain small and filled print.
PUB TYPE Guides - Classroom Use - Teaching Guides (For Teacher) (052) -- Reports - Descriptive (141)

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Adult Education; *Community Involvement; English (Second Language); *English Instruction; *Literacy Education; Outreach Programs; Second Language Instruction; *Transitional Programs

ABSTRACT

This report reviews government-funded, English-as-a-Second-Language (ESL) projects for adults at three schools: in Arlington (Virginia) public schools, in an El Paso (Texas) community college, and in the Massachusetts Department of Education. The Arlington Adult Learning System (AALS) demonstrated how coordination by a community-based organization, a vocational institution, and an institution of higher education helped adults prepare for job training and academic study. The Texas Success Through Transition English Project (STEP) worked with community-based organizations and the community college to deliver services to adults for academic and technical programs. The Massachusetts English Literacy Demonstration Project (MELD) illustrated how a State education agency supported partnerships with community-based organizations and community colleges to strengthen educational and employment opportunities for linguistic minorities in urban and rural areas of the state. Each model is described in detail, with the key elements of success extrapolated. Appendixes include project summaries, Federal Register announcement, and resource information. (Adjunct ERIC Clearinghouse for ESL Literacy Education) (NAV)

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Model ESL Transitional Demonstration Programs

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FL-801089

U.S. Department of Education
Office of Vocational and Adult Education
Division of Adult Education and Literacy
July 1995

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Wednesday, May 6, 1992

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INTRODUCTION

To encourage collaborations and partnerships among service providers and to provide quality instruction and services to a growing limited English proficient adult population, the U.S. Department of Education, Office of Vocational and Adult Education, published an absolute priority for a grant competition to support models for transitioning adults with limited English skills from one provider to another to prepare them to enter vocational education and college programs. This competition was funded under The National English Literacy Demonstration Program, authorized by the Adult Education Act, Public Law 100-297, as amended by the National Literacy Act of 1991. The National English Literacy Demonstration Program was designed to develop innovative approaches, methods, and technologies to help limited English proficient adults and out-of-school youth to achieve full competence in the English language.

In Program Year 1992, a review panel of English as a Second Language and Adult Basic Education professionals and consultants read, evaluated, and rated 31 applications based on established selection criteria (see Federal Register announcement in the Appendix). Due to limited funding, only three grantees were selected. The program was authorized for $698,987 in the first year and $710,000 in the second year. The grantees were the Arlington Public Schools, El Paso Community College, and the Massachusetts Department of Education.

Each project represented a different model of collaboration and implementation of transitional English programs. The Arlington Adult Learning System (AALS) demonstrated how a local adult education provider coordinated with a community-based organization, a vocational institute, and an institution of higher education to teach limited English proficient adults along a continuum from literacy instruction to preparation for job training and academic study. The Texas Success Through Transition English Project (STEP), based at El Paso Community College, developed partnerships with several community-based organizations to deliver services and provide for effective program transitioning of limited English proficient learners by bridging ESL instruction with academic and technical programs. The Massachusetts English Literacy Demonstration Project (MELD) demonstrated how a state education agency supported three partnerships with three community-based organizations and community colleges to strengthen educational and employment opportunities for linguistic minorities in urban and rural areas.

A brief description of the three projects is included in this report. The projects were funded from October 1, 1992 to December 31, 1994. Originally, the projects were to last three years; however, funding for the third year was never appropriated. The loss of third year funding did not allow the projects to document long-term success and follow-up on the accomplishments of the learners and the effectiveness of the programs and institutions. Each project was evaluated at the end of the second year by an independent evaluator.

We encourage you to share this report with your colleagues. The information contained in this report can provide insight into successful practices and possible collaboration models that can improve programs and expand services for limited English proficient adults. More information on each project, including external evaluation reports, can be obtained from the project directors, whose names are included in the text.

The Models

The Arlington Adult Learning System (AALS)

Program Description

The Arlington Adult Learning System (AALS) was a consortium of diverse English as a Second Language (ESL) providers coordinated by the Arlington Education and Employment Program (REEP) of Arlington, Virginia. The providers included an adult education institution, a community-based organization, a vocational institute and an institution of higher learning.

The primary purpose of the consortium was to link the resources and expertise of each of the ESL service providers into a well-articulated, full service adult learning and training system. The principal goal of the system was to facilitate learner transition from level to level and program to program until learners met their education, employment and training goals. Specific objectives of the program included: 1) developing and refining an integrated transitional learning partnership including four organizations; 2) recruiting limited English proficient (LEP) adults in Arlington through strengthening relationships with agencies serving and working with the target population; 3) screening potential trainees to identify their language learning needs and goals and place them along an education continuum; 4) providing free training slots for project participants; providing extensive group and individual educational, career and job counseling and; 5) providing follow-up support to trainees applying for job training or academic study.

Partnerships

The Arlington Education and Employment Program (REEP) formed a consortium with Hogar Hispano, the Employment Training Center (ETC) and Marymount University in Arlington, Virginia. (Figure 1 on page 3 shows the interrelationship of service providers.)

> **REEP** is a nationally recognized special project within the Arlington Public School system. REEP serves approximately 2,500 LEP immigrants and refugees per year through a variety of program components: the Intensive ESL Program; Adult Learning Center (ALC); Workplace Literacy Program; and Non-Intensive Extension Program. REEP is funded entirely through grants and special projects.

ARLINGTON ADULT LEARNING SYSTEM (AALS)

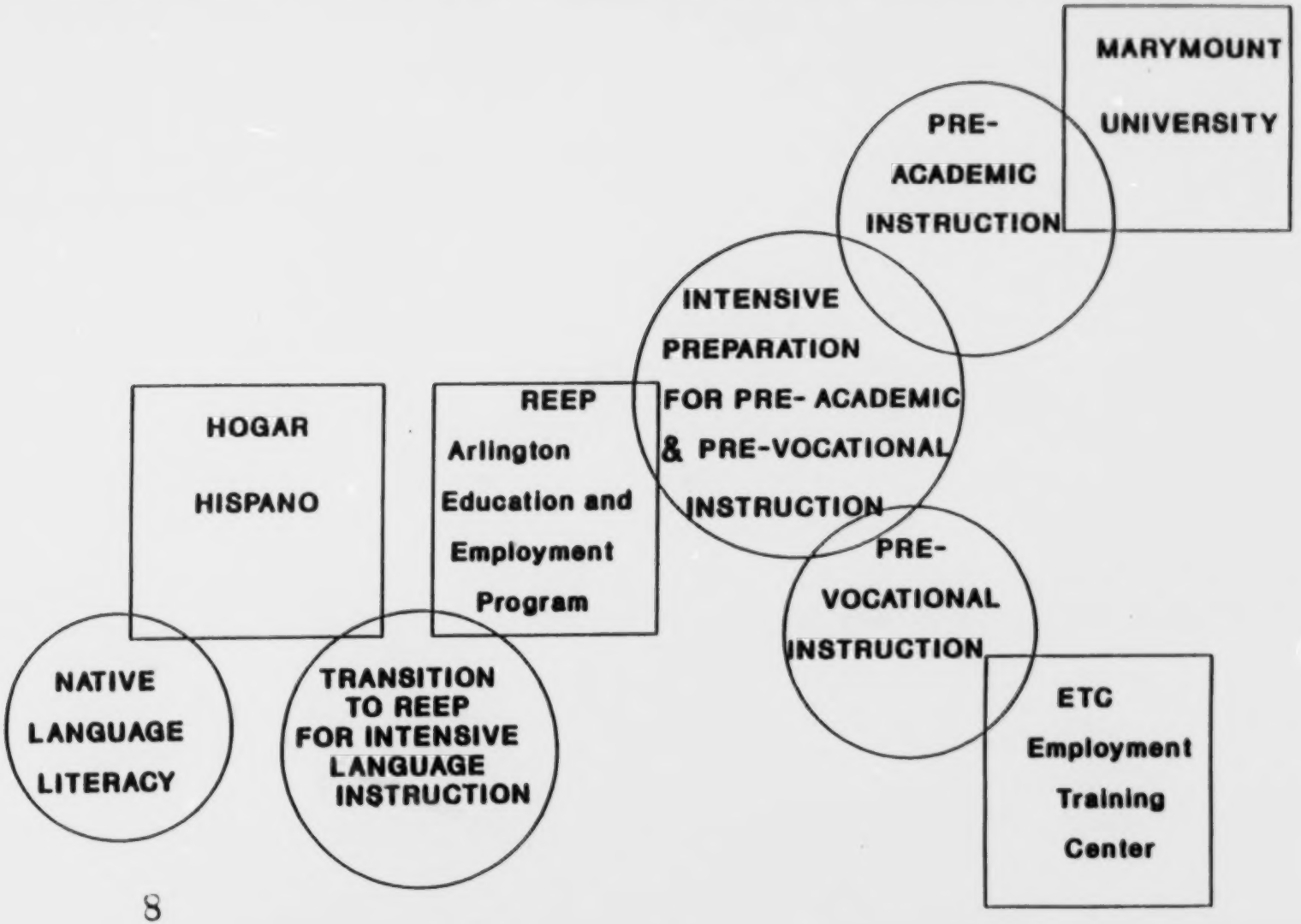
MARYMOUNT UNIVERSITY
PRE-ACADEMIC INSTRUCTION
INTENSIVE PREPARATION FOR PRE- ACADEMIC & PRE-VOCATIONAL INSTRUCTION
HOGAR HISPANO
REEP Arlington Education and Employment Program
PRE-VOCATIONAL INSTRUCTION
NATIVE LANGUAGE LITERACY
TRANSITION TO REEP FOR INTENSIVE LANGUAGE INSTRUCTION
ETC Employment Training Center

Figure 1

Hogar Hispano is a community-based organization under the auspices of Catholic Charities that serves the social, economic, educational and family needs of low-income immigrants in northern Virginia. Hogar Hispano offers three levels of low-cost, non-intensive basic ESL instruction at nine sites, in addition to assistance with immigration, assistance with food and clothing, referrals and job information, and tax preparation.

Employment Training Center (ETC), a program of the Arlington Public Schools, offers free vocational training and placement in office skills, child care, electrical trades and printing. ETC, the primary county vocational training provider, is supported by a number of different funding sources, including JTPA, JOBS and BVOT.

Marymount University is an independent, coeducational institution that has an intensive English as a Second Language program to prepare foreign students for academic study at U.S. universities.

Composition of Students Served

Students who enrolled in the program were immigrants and refugees. Sixty-five percent (65%) identified themselves as Hispanic; 18% as Pacific Asian; 11% as African; 3% as European and .5 % as Middle Eastern. Fifty-nine (59%) percent of all students were female; forty-one percent (41%) were male. Eighty-two percent (82%) were ages 22-44.

Number of Students Served

During Year 1, 155 students were recruited and enrolled in the project. By the end of Year 2, 289 learners had been served.

Student Assessment and Monitoring

The transition of learners from one agency to another was facilitated through the adoption of common assessment processes and instruments by the providers. For example, Hogar Hispano used a short version of the BEST Test in order to place and assess its students. By using the BEST Test, Hogar Hispano facilitated the transition of its students into higher level classes at the Arlington Education and

Employment Program (REEP), a program which routinely administers the BEST to place and monitor its students.

In a similar fashion, REEP adopted the Michigan Test and the TABE to test students' readiness to transition into post-secondary education at either Marymount University (for academic studies) or the Employment Training Center (for vocational studies). In addition, Marymount administered the Test of English as a Foreign Language to assist students transitioning from their pre-academic classes to academic studies. REEP developed and began implementing timed writing tests, modeled after Marymount placement tests, to more effectively determine writing readiness for classes at Marymount and the Employment Training Center.

In addition to more standardized assessment instruments, entry level descriptions based on the MELT (Mainstream English Language Training) Student Performance Levels, have been developed and refined for all transition levels.

Student progress was documented and monitored through a database system which included: results of assessment measures; a summary of classes taken; the learner's Individual Education Plan; a learner needs assessment; and samples of student work. An electronic database system was custom-designed by LGJ Services of Baltimore for this purpose. The system enabled partners to manage cases as well as to share information about learners electronically.

Outreach and Referral Efforts

Extensive group counseling and individual counseling were conducted by counselors and teachers at all class locations. An Individualized Education Plan (IEP) for each trainee was developed and reviewed periodically during the counseling. Trainees were also given access to written and computerized resources dealing with academic and job opportunities. These resources included computer software programs such as Student Aid Tour and **Virginia VIEW**. Student Aid Tour (US Department of Education) allows students to research information about federal student aid. **Virginia VIEW** helps students to examine career choices. In addition, students were offered individual instruction through the Adult Learning Center.

Project graduates had an exit interview with project staff and completed a survey to determine their next steps in achieving their long-term goals. Graduates were also provided with the opportunity for continued counseling.

Prior to the project, direct referrals to other service providers were rare. Learners were not counseled as to the appropriateness of the information to their particular needs and goals. As a result of the project, the number of referrals between partners and the success rates of learners have increased.

Transitional Curriculum

Partners from each institution met to review and assess how the various curricula from their programs fit together. They began by examining the upper end of the project spectrum (preparation for job training or academic study) since this is where the largest gap in language and academic skills existed.

The project partners first determined which skills students would need to successfully transition to academic study or job training upon completion of the project and then determined the skills needed to transition from REEP to the academic English class at Marymount University and the vocational English class at the Employment Training Center. Based on these discussions and needs assessments conducted with teachers and students, curricular components for the pre-vocational and pre-academic tracks were developed, piloted and revised based on teacher and student feedback. These components included the pre-vocational/pre-academic English classes at REEP, computer-assisted pre-vocational/preacademic instruction in REEP's Adult Learning Center, the academic English class at Marymount, and the vocational English class at the Employment Training Center.

Curriculum development at the lower and middle of the spectrum (i.e. for Hogar Hispano and REEP's General ESL tracks) began with a series of teacher and student needs assessments. Based on these assessments, a curriculum was designed that incorporated many of the features of REEP's previous curriculum with respect to format, approach, and content.

The final product, The Arlington Adult Learning System (AALS) Curriculum: A Transitional ESL Curriculum for Adults, included: four levels of non-intensive lifeskills English, including preliteracy (Hogar Hispano); seven levels of intensive lifeskills English, intensive advanced pre-vocational/pre-academic instruction, computer-assisted pre-vocational/pre-academic instruction (REEP); intensive pre-academic English (Marymount University); intensive pre-vocational English (Employment Training Center).

Unexpected Barriers

- All four partner organizations had different instructional calendars. The project had to find a way to reconcile these different calendars in order to avoid large gaps in services and maintain high program participation.

- Some of the instructors at the community-based organization felt left out of the decision-making process. Their concerns regarding scheduling and the transition of their students needed to be addressed by the project coordinators and administrators.

- Funding for the community-based organization and for evening classes at the Employment Training Center was not stable. Lack of stable operating platforms can impair the effectiveness of transitional programs.

- Due to their ESL status, some learners faced barriers to enrolling in regular community college courses. In developing a transition program, it is necessary to work closely with all target receiving agencies to establish an understanding of their admissions requirements and placement procedures.

- Some learners had academic goals (postgraduate study, professional certification) which were not anticipated by program planners.

Outcomes

Academic

- A total of 73 students from Hogar Hispano transitioned to REEP; fifty (50) students transitioned from REEP to the Employment and Training Center; sixty-seven (67) transitioned from REEP to Marymount University.

- Of the 73 students who transitioned from Hogar Hispano to REEP, 68 (93%) achieved their goal of completing at least one cycle at Hogar Hispano and one cycle at REEP.

- Of the 50 students who transitioned from REEP to the ETC, 45 (92%) successfully achieved their goal of completing pre-vocational instruction at REEP and ETC.

- Of the sixty-seven (67) students who transitioned from REEP to Marymount during the first year, 61 (91%) achieved their project goal of completing pre-academic instruction at REEP and Marymount.

- In the post-project period, nineteen (19) ETC graduates have secured employment; seventeen (17) have begun studying at Northern Virginia Community College; and five (5) have transitioned to Marymount University for a pre-academic English class.

Institutional

- The development and implementation of the integrated transitions system has increased the awareness, knowledge and understanding of the populations served by each partner, the services that the partner provides, and the admissions and eligibility requirements of each.

- Counseling and referral services have improved. The number of referrals has increased and the success rate of students has improved.

- **Hogar Hispano** has been able to draw support from other service providers in the area and has developed a curriculum that will continue to benefit the organization's teachers and students.

- **Arlington Education and Employment Program (REEP)** has developed an advanced level track beyond its lifeskills levels. It has also improved its ability to respond to learner needs by helping them to transition to higher levels.

- **Employment Training Center (ETC)** has seen an improvement in goals articulation and in self-disclosure of information among learners.

- **Marymount University** has a greater awareness of the role it can play in the Arlington community regarding the immigrant population. The University plans to seek ways to be responsive to the immigrant population, especially in areas such as financial aid.

This success of this project can be judged not only by its student achievements, but also by the high degree of institutionalization it produced. As a result of the Arlington Adult Learning System, two new transitional projects are currently being

implemented in northern Virginia. One uses Section 353 funds from the Adult Education Act to provide free English instruction and counseling at REEP for learners referred by the Employment Training Center or Hogar Hispano. Another, funded under foundation support, Marymount University and low-cost tuition, created a pre-academic English class at Marymount University. This class enrolled five former AALS students as well as seven REEP students in January 1995.

In addition, REEP has continued its work as an innovator and organizer of transitional programs. In the Fall of 1994, REEP began collaborating with the Ethiopian Community Development Council (ECDC) to provide non-intensive ESL classes for refugees. It also has begun participating in a statewide project to develop collaborations and coalitions between state adult education providers and community-based organizations in Northern Virginia. REEP's third project, a partnership with the Cooperative Extension Service in Arlington, involves training and supporting the volunteer ESL instructors who staff four Arlington Bilingual Outreach Projects.

In sum, the Arlington Adult Learning System project has enabled students, staff and institutions to better assist adult learners to meet their education, employment and training goals though an innovative, integrated full-service system of instruction, counseling and academic support for limited English proficient adults.

Products Produced

The Arlington Adult Learning System (AALS) Curriculum: A Transitional ESL Curriculum for Adults.

The Arlington Adult Learning System (AALS): Final Report (October 1992 - December 1994).

Linkages for Learning: A Handbook for Collaborative Service Delivery.

For more information about this project, contact:

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Success Through Transitional English Program (STEP)

Program Description

The STEP program was designed to bridge ABE/ESL instruction with academic and vocational credit and non-credit programs at El Paso Community College (EPCC). The major objectives of STEP are to provide transitional skills, support services and retention strategies for limited English proficient students interested in pursuing training at EPCC to realize their educational and vocational goals.

STEP began operating on March 9, 1993 and officially ceased operations as a United States Department of Education grant funded program on March 31, 1995. Due to its success, the program has been continued by the El Paso Community College Literacy and Workforce Development Center.

The Success Through Transitional English Program's (STEP) latest development has three phases. The first phase consists of eleven transitional workshops. The workshops are delivered over a four week time span. Workshop topics include, but are not limited to, the following: assistance with activities related to enrollment; ability to use resources such as financial aid, tutorial services, counseling services, and child care services; strategies for academic success such as time management, independent learning, testtaking, notetaking, library use, and stress management; and career awareness and development.

The workshops are based on a holistic five-part model for language instruction. The five parts are: a critical discussion, a writing activity, a reading activity, a group activity, and an application activity. The workshops are learner-centered, culturally sensitive and flexible. In addition, the workshops are designed to increase self-esteem, strengthen language and academic skills, and provide institutional knowledge. The workshops are presented by STEP tutors. The activity specialist and the program coordinator meet with students on a regular basis.

At the completion of the workshops, students enter Phase Two. Phase Two is a retention phase that takes place whenever there is an interim period between the end of Phase One and the beginning of a college semester. Phase Two is conducted by STEP tutors. During this phase, students have the opportunity to strengthen their academic and language skills. For example, students can audit classes and take notes to strengthen their notetaking skills. In this fashion, they get to experience what college would be like and assess their skills.

Once students start taking college classes, Phase Three begins. This is a support and retention phase. During this phase, tutors may attend classes with students if needed, in order to assist students with notetaking and evaluate student skills. STEP students are required to meet with their tutors at least three times a week for academic tutoring and discussion of college-related issues. This tutorial approach allows students to enroll in classes that are more advanced than what their college placement test may reflect, reducing the need for excessive remediation for some students and ensuring that academic deficiencies are addressed as they are encountered.

Partnerships

El Paso Community College entered into a partnership agreement with eleven partners to develop compatible assessment procedures, establish a brokering system whereby students can be referred to appropriate services, share a common database, and refer students who wanted to pursue vocational education, college . transfer, or credit programs to STEP advancement classes. These partners were as follows: El Paso Literacy Coalition; El Paso Public Library, El Paso Independent School District; Upper Rio Grande Private Industry Council, Inc.; Laubach Literacy Council; St. Clement's English Speaking Center; Housing Authority of the City of El Paso; Texas Department of Human Services; United Way of El Paso; and the Ysleta Independent School District.

Composition of Students Served

The majority of the students served by STEP fall into the category of non-traditional students. Over fifty percent of the students served are over 30 years old. The average age of the population is thirty-seven. Most of students served have been women (78 percent). Over 70 percent of the population served has more than one child. The average number of children per student is two. The vast majority of the students have not completed high school or their GED. In fact, 75 percent of the students have not gone beyond the 11th grade. The native language of the majority of the students is Spanish. Interestingly, while most students prefer to speak Spanish, fifty percent of the students have attended some school in the U.S.

Ninety-nine percent of the students are of Mexican descent. Observations from the activity specialist and program coordinator indicate that, within this population, there are two distinguished cultural groups. One group is composed of first generation Mexican immigrants. This group is generally fluent in Spanish and they have

received most of their formal education in Mexico. They communicate in Spanish and they have very limited oral communication skills in English. Students who have had more than nine years of education in Mexico tend to acquire reading and writing skills fairly quickly.

The second group is composed of descendants of Mexican immigrants. This population usually communicates in Spanish at home and in a combination of English and Spanish outside their home environment. This group usually has fairly fluent oral English skills. Their reading and writing skills, however, are limited to the years and quality of their formal education.

Number of Students Served

Between May 4, 1993 and December 16, 1994, STEP recruited and served two hundred and eleven students. Two hundred and one students completed phase one. One hundred and sixty-one students enrolled in El Paso Community College for vocational, academic and remedial credit courses. Forty students did not start college for various reasons. Between January 16 and March 1, 1995, an additional 60 students have been recruited to STEP. These students will continue to be served through a Carl Perkins discretionary grant.

Student Assessment and Monitoring

Students' skills are assessed throughout the three phases of the program. The STEP coordinator met with partners and held focus group meetings with EPCC students and instructors to identify reasons for success and failure. The information collected from the meetings led to the development of the following assessment tools:

- An initial assessment which identifies students' strengths and weaknesses related to college success.

- An end-of-session student assessment which compares students' growth from the moment they enter STEP until they complete the STEP curriculum.

- A student portfolio which evaluates students' development from the moment they enter the STEP program until the STEP curriculum is completed.

- A database which can monitor students' collegiate progress from the moment they enter STEP until the completion of the collegiate careers.

The assessment system has been implemented with 201 students who have completed STEP sessions. In the initial assessment, students are asked to state their familiarity with different college services and facilities such as financial aid, tutorial services, counseling, the library, and the different campuses. The initial assessment showed that 85 percent of STEP students were unfamiliar with these college services and facilities. Furthermore, the assessment required students to complete a writing activity. Regardless of the students' knowledge of English vocabulary and grammar, 80 percent of the students could not develop a college-level essay. In addition, the initial assessment showed that 70 percent of the students did not have concrete vocational or academic goals. Observations from the tutors, activity specialist and the program coordinator also showed that the students demonstrated low self-confidence. The portfolio assessment indicated that student self-confidence had improved. After students completed the workshops, students had developed a clearer understanding of the college and identified academic and vocational goals.

Other assessment tools have been developed to monitor students' progress once they enter the college retention phase. These tools include an instructor biweekly report and a weekly tutor report. The instructors' biweeky report is one of the fundamental reasons for the success of STEP students. The simple report informs the tutors of the students' academic deficiencies.

While the assessment system has been developed for this project, it is currently being used at the EPCC Literacy Center. This assessment system allows the Center to track its students indefinitely and to conduct extensive follow-up studies on its students.

The progress of each student has been monitored through an individualized educational plan (IEP). Educational plans were developed for each student with a STEP tutor (with assistance from the activity specialist), a college counselor assigned to the program, and a career counselor. The plan begins with students attending a series of functional context workshops that prepares them to succeed in college. Throughout these workshops student skills and goals were assessed by means of a set of instruments. Students were also given a placement test by the college to determine in which courses they could enroll. Based on STEP assessment of students' academic skills and understanding of the college, the college placement tests, and each student's vocational or academic goals, student

individualized education plans were formulated. The educational plan formula has been based on the college requirements to achieve a particular objective as stipulated by the college course catalogue.

The tutor or activity specialist discussed the results of the assessments with the students, and together, they identified the areas where the students needed support. This was based on the students' performance during the workshops. The college counselor explained to the students the results of the college placement (Nelson Denny) and courses they could take based on the results. Finally, a career counselor explained to the students different career alternatives and helped them make a career decision. Students were not required to identify a career goal until completion of their first college semester. Students who did not state a career goal were encouraged to take courses which are required for all degree plans.

All educational plans have been designed as specified by the college for each career under the supervision of the college's academic advising center. The director of counseling at EPCC has been instrumental in assisting STEP students with their educational plans. The director of counseling at EPCC assigned an academic advisor to the STEP program.

Traditionally, a new student who comes to EPCC must go to the intake department. Immediately, an intake employee recommends that the student take either an ESL or non-ESL placement test. Students who are placed in ESL courses may not take academic courses until they reach level 5. Over 80 percent of the students who take the ESL placement test are placed in pre-level 1, level 2, or level 3 ESL courses. Less than ten percent of all ESL students complete the ESL program.

The College also requires that after students complete a placement exam, they are referred to an academic counselor. In less than five minutes, a counselor discusses placement results with the student and makes placement recommendations. The majority of EPCC students are then referred to either remedial (non-ESL), or ESL courses. With STEP, assessment does not take five minutes, but is an ongoing process throughout the workshops. In this fashion, STEP is able to make more accurate placement recommendations. As a result, students are placed in appropriate courses. STEP students have completed courses which are more advanced than those EPCC counselors may have recommended. This has been the direct result of close monitoring by the STEP tutors and activity specialist. In addition to the Nelson Denny standardized test, STEP students participate in various activities which may better reflect their academic potential.

The STEP database has been developed by the program coordinator in conjunction with the EPCC Literacy Center's information systems coordinator. The database can monitor each student's collegiate progress from the moment they enter into the STEP program until the accomplishment of their educational goal. Students' progress towards their goals have been supported through tutoring, counseling, and advocating support services and retention strategies. Retention strategies include keeping students involved in learning activities and participating in non-academic college-related activities.

Outreach and Referral Efforts

It was originally determined in the partners' meetings that outreach would be done through community organizations. Of the eleven partners originally identified, the Texas Department of Human Services (DHS), the Ysleta Independent School District (YISD), the El Paso Independent School District (EPISD), and the Upper Rio Grande Private Industry Council (URGPIC) had the most clients who would benefit from the STEP program. Each of these partners worked in conjunction with the STEP coordinator to develop a personalized outreach effort which was implemented over the past two years. This outreach effort is now being continued by the EPCC Literacy Center.

The Coordinator spent a great deal of time trying to recruit clients from the Department of Human Services (DHS). The majority of DHS JOBS clients were referred and locked into other programs prior to the establishment of the STEP program. Caseworkers had established patterns of behavior in terms of their referral efforts. Referrals to STEP were a new activity that had to be routinized into the caseworkers' behavioral profile. The goal of the Texas Employment Commission (TEC) and the DHS caseworkers has always been to make sure clients are employed. After the procedure for referral was established, the number of students referred by DHS increased slightly because the caseworkers became more familiar with the program and clients reported their positive experiences in the STEP program to their caseworkers.

Two major El Paso school districts which serve large limited English proficient populations referred a total of 20 clients to the program. These programs receive funding based on GED completion and will not refer students to college until they received a GED certificate. Once they receive it, their next goal is to get a job.

The URGPIC (Upper Rio Grande Private Industry Council) probably has served the majority of potential STEP students. The fact that the EPCC has a high attrition

rate, combined with the need of JTPA for quick training, made URGPIC a reluctant partner. Samples of the program curriculum, the assessment system, and support and retention strategies were presented to URGPIC. STEP's success in transitioning five URGPIC referrals into ECCC combined with URGPIC's need to refer clients to programs at no cost resulted in a radical increase in referrals. In less than a month, URGPIC's caseworkers and clients were calling STEP on a daily basis. A total of 34 clients have been referred to STEP by URGPIC between May 1993 and September 1994. URGPIC continues to refer clients to STEP.

STEP began to recruit clients directly from public housing and the public library literacy center. These entities have referred clients and have contributed classroom space and materials to teach STEP workshops. A total of 49 clients have been recruited from housing and five clients from the public library.

The West Texas Community Supervision and Corrections Learning Center (WTSC) was identified as a new STEP partner in June of 1993. The Center serves mostly probationers. While many probationers were referred to STEP, not too many attended the program. Probationers are usually encouraged to obtain jobs by their probation officers. Between January 1994 and December 1994, STEP offered workshops in the WTSC facility. In addition, six students were referred from the El Paso Community College Literacy Center; three students were referred from the Literacy Center for the Deaf; three students were referred by the homeless shelter, and 31 students were self-referred.

Transitional Curriculum

A one hundred hour transitional ESL functional context curriculum was developed to prepare students for enrollments into vocational education, college transfer, or college credit programs. Focus group meetings were held with partners, EPCC instructors, and EPCC students to develop the curriculum. All information obtained was used to develop a curriculum which is **learner-centered, culturally sensitive,** and **flexible.** The curriculum has consisted of several workshops to develop the following skills: **applied self-confidence, academic skills, and institutional knowledge.** From STEP's perspective, **applied self-confidence** is the ability to communicate difficulties to collegiate personnel and actively seek solutions to barriers. Partners have frequently pointed out that one of the main failures in student success is their lack of self-confidence.

Poor academic skills were identified as a second barrier to student success. **Academic skills** are those skills that allow students to successfully complete

college level courses. Since the majority of the clients have very limited academic backgrounds, the STEP curriculum was developed to strengthen academic deficiencies. **Institutional Knowledge** has been promoted through field trips and interaction with representatives from the financial aid office, the counseling center, the tutorial center, the library, and other academic and vocational departments.

All the activities have been interactive and have been provided to the students through holistic workshops. Each holistic workshop has been based on a five-part model: a critical discussion, a writing activity, a reading activity, a group activity, and an application activity. At completion of a one hundred hour session of workshops, STEP students will have earned admission to EPCC, completed their financial aid application, taken the college placement test, received career counseling, received academic advising, visited important college offices, interacted with key college personnel, improved their academic skill, improved their self-confidence, developed an understanding of the college's purpose and its bureaucracy, and improved their language and basic skills.

Two hundred and one students completed the workshops and applied for admissions into the college. While 40 students out of 201 decided not to start college, some had difficulties beyond STEP's control. For example, some students had attended other proprietary schools while receiving Stafford loans and had defaulted on their loans. Many students who completed the STEP workshops have obtained work-study jobs in several college departments. In addition, STEP students have volunteered by providing tutoring to other college students. During January 1995, twelve STEP students testified in front of the Texas Education Agency Task Force to continue the STEP program. The STEP students were the only ones testifying from El Paso Community College.

Unexpected Barriers

STEP did not have too many unexpected barriers. However, listed below are some of the most challenging obstacles.

- Mistreatment of limited English proficient women from various agencies due to factors such as language barriers, low self-esteem, and lack of experience in college settings. The majority of these women have been homemakers for much of their lives. In addition, many women had to deal with chauvinistic attitudes from their spouses. (Most male students had been exposed to mainstream culture prior to attending college.)

- Lack of financial aid for students. Many STEP students have previously attended proprietary schools which loan them money for training over a short period of time. These students usually did not find satisfactory jobs and defaulted on their loans, causing them to lose their financial aid eligibility.

- Lack of a third year of funding made it impossible for most STEP students to complete their studies in two years. Three years has to be the minimum required time span for such a program to demonstrate success for the dilemmas that undereducated adult learners face.

Outcomes

The STEP program can be credited with an wide range of academic, personal and institutional accomplishments (Chart 2 on page 19 summarizes these accomplishments).

Academic

- Two hundred and one (201) high risk students completed a transitional session improving their language skills and gaining understanding of the college and community between May 1993 and December 1994.

- One hundred and sixty-one (161) high risk students started a college semester between September 1993 and January 1995.

- One hundred and twenty (120) high risk students completed at least one college semester between December 1993 and December 1994.

Institutional

- Average first semester GPA for all STEP was 2.43 (compared to the college's 1.5. for all students during 1990-91).

- Average cumulative GPA for all STEP students is 2.66. The average number of hours completed was 15.1 credit hours.

- One hundred and forty (140) STEP students received Pell Grants between September 1993 and January 1995.

Chart 2

STEP Student Accomplishments
May 4, 1993 and December 17, 1994

NEEDS/BARRIERS	*STEP ACTIVITIES*	*RESULTS*	*EVIDENCE*
ACADEMIC Difficulties with: Note taking Test taking Study habits Communication Skills Library Usage	Phase One — Workshops Academic skills tutoring Phase Two — Ongoing academic tutoring through College	Communication and Academic skills of students improved considerably increasing changes of collegiate success	201 Step High Risk students completed a transitional session improving their language skills and gaining understanding of college and community between May 1993 and December 1994. 161 Step High Risk students started a College semester between September 1993 and January 1995. 120 Step High Risk students completed at least one college semester between December 1993 and December 1994. Average 1st. semester GPA for all STEP students = 2.43 (compared to the college's 1.51 for all students during 1990-1991) Average Cumulative GPA for all STEP students = 2.66. Average # of hours completed = 15.1 credit hours. 140 Step students received Pell Grants between September 1993 and January 1995. 10 Step students received Peyton Foundation Grants between January 1994 and January 1995. 6 Step students received Financial Aid from PIC between September 1993 and January 1995. 50 Step students received Child Care through DHS between May 93 and January 1995. 10 Step students received Child Care from YWCA between January 1994 and January 1995. 5 Step students received Shelter between January 1994 and January 1995.
INSTITUTIONAL Lack of information regarding: Admissions Placement Testing Counseling Collegiate Support Tutoring	Phase One — Workshops Institutional Support Phase Two — Ongoing institutional support by tutors through College	Increased understanding of college services and facilities	
PERSONAL Problems related to: Finances Child care Transportation Family crisis Self esteem	Phase One — Workshops Individual Support Phase Two — Ongoing counseling and individual tutoring	Increased awareness by students of support services within and outside college Increased self esteem	

- Ten (I0) STEP students received Peyton Foundation Grants between January 1994 and January 1995.

Personal

- Fifty (50) STEP students received child care through DHS between May 1993 and January 1995.

- Ten (10) STEP students received child care from YWCA between January 1994 and January 1995.

- Six (6) STEP students received financial aid from PIC between September 1993 and January 1995.

- Five (5) STEP students received shelter between January 1994 and January 1995.

The success of the program was so convincing that El Paso has continued all STEP activities beyond the funding period. The STEP program model for recruitment, preparation and retention of limited English proficient learners in college programs has resulted in real improvements in the targetted students' ability to succeed.

Products Produced

Muro, Andres, Inez Mendoza and Richard Buller. (1995) **Success Through Transitional English Program (STEP) Final Report.**

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Massachusetts English Literacy Demonstration (MELD) Project

Program Description

MELD was a complex project, involving three separate partnerships serving three distinct communities within Massachusetts. MELD was designed to strengthen educational and employment opportunities for linguistic minorities through innovative approaches to transitional ESL programming. The program's five key objectives were: to establish innovative transitional ESOL service systems to link community-based adult learning centers and community colleges and/or vocational training programs; to develop contextualized, content-based and fully-articulated transition curricula; to prepare successful recruitment strategies, individualized educational plans, articulated entry and exit criteria, targeted pre and post-test assessments, retention strategies, and referral protocols; to develop a uniform framework of support services; and to facilitate the adoption of new program standards and criteria for ESOL service delivery providers statewide.

During Year 1 of the Project, three partnerships were established, adult learners were recruited, and transitional classes and activities were put in place. During Year 2, partnership systems were further refined, curriculum was designed and modified, and academic and support services were developed.

Partnerships

The Massachusetts Department of Education formed partnerships with three community-based organizations and three community colleges. Two of the partnerships targeted transition issues in an urban setting; the other addressed issues in a rural setting.

Staff were hired for each partnership based on the language and cultural needs of the students. Classes were designed to allow each program to provide a continuum of services from adult learning centers into community college or vocational training. Curriculum Development Teams and Project Advisory Committees were also established for each partnership.

The Haitian Multi-Service Center (HMSC) and Roxbury Community College (RCC) formed one of the urban partnerships. The HMSC is a community-based organization that provides adult education services to Boston's Haitian population. Course offerings range from native language literacy to an External Diploma

Program. Roxbury Community College is the only college in New England that serves a predominately minority population in a predominantly minority neighborhood.

The second urban partnership was formed between **Bunker Hill Community College (BHCC), the Quincy School Community Council (QSCC) and the Asian American Civic Association (AACA).** The Quincy School offers a comprehensive bilingual Cantonese/English native language survival skills literacy curriculum, while the AACA provides an External Diploma Program, adult ESL, a pre-vocational program, office skills training and a refugee program. Bunker Hill Community College currently enrolls 6,500 students in its day and evening courses.

The rural partnership involved the **Barnstable Community Schools (BCS), Cape Cod Literacy Council (CCLC) and the Cape Cod Community College (CCCC).** Cape Cod Community College enrolls approximately 5,000 students in its day or continuing education programs. In general, the Cape Cod Literacy Council serves a very diverse multi-lingual population of adults not bound by a common culture or language. The MELD project served predominantly Portuguese-speaking students.

Composition of Students Served

The HMSC/Roxbury project involved Haitian immigrants from an urban, largely African-American community in metropolitan Boston.

Three-quarters of the students in the Cape Cod Project were Brazilian speakers of Portuguese. The remaining students were from a wide variety of cultures.

The Quincy/Bunker Hill/Asian American Civic Association Project, served Chinese and Southeast Asian immigrants in an urban setting.

In general, MELD students ranged in age from the late teens to fifties with the majority of the participants in their twenties or thirties. Roughly two-thirds of the participants were female; one-third were male.

Number of Students Served

During Year 1,338 students were recruited. In the second year of the project, 276 adult learners had been served.

Student Assessment and Monitoring

Haitian Multi-Service Center/Roxbury Community College

The Center conducted written assessment instruments and oral interviews in Kreyol, French and English, at intake, in order to determine literacy levels in both languages.

Learners were assessed in an ongoing basis through learner portfolios. The portfolios included self-assessments and peer assessments. At the end of the project, staff members and students reviewed the portfolios against the exit criteria articulated for each transitional class.

Quincy School Community Council, Asian American Civic Association and Bunker Hill Community College

The Quincy School developed written assessment instruments and oral interviews, conducted in English and Cantonese, at intake, in order to determine English functioning level and the students' goals and survival skills needs.

For the MELD Project, the Quincy School supplemented their on-going assessment, which relies primarily on teacher evaluations and progress through a competency oriented curriculum, with a portfolio assessment process.

The Asian American Civic Association complemented the External Diploma Program (EDP) assessment instruments with the TABE and other content-based assessments with reading and grammar questions focusing on higher education developed by program staff.

BHCC used the Comprehensive English Language Test (CELT) which evaluates reading, writing and math skills.

Cape Cod Project

Students who initially enrolled were administered the diagnostic assessment of reading and asked to complete a writing sample. In the Cape Cod Project, student progress was diagnosed using the CPT (College Placement Test) and the LOEP (Levels of English Proficiency Test). The CPT served to measure both language proficiency and college placement levels. Additionally, students who scored at the 20th percentile or below were administered the LOEP test. The LOEP assesses the

English skills of students who have learned English as a Second Language or who are native English speakers with limited proficiency.

A customized database system was used to track student progression through the nine transition phases in the Cape Cod Program. In addition, in the three levels of transition ESL classes, student progress was measured through the use of portfolios.

Outreach and Referral Efforts

Haitian Multi-Service Center/Roxbury Community College Project

Two part-time Haitian counselors provided support for MELD students at Roxbury Community College and at HMSC. The counseling in both cases was purely academic. In the HMSC counseling component, students were required to develop Individual Education Plans (IEP) using computer skills.

Because both counselors were part-time, group counseling sessions were instituted in the first year to enable the staff to reach all students. During these sessions, counselors provided academic support services such as financial aid, registration, and academic counseling assistance. In addition, all HMSC students had access to other social services offered by the agency, such as vocational counseling, child care, health referrals, legal and immigration assistance and family counseling.

Quincy/Asian American Civic Association and Bunker Hill Community College

Students were required to participate in a thorough orientation session as part of the intake process. They also had to participate in oral interviews, submit writing samples on educational goals and take tests in reading, grammar and math, based on real-life applications. From these assessments, individual student portfolios were developed along with individual education plans.

Student counseling services were provided at all three institutions. The bilingual counselor at the CBO provided job placement counseling, employment counseling, citizenship assistance, health services, career and legal counseling. In the second year, students were assigned mentors at the community college to ease their transition to higher education.

At the end of each cycle, students completed a self-evaluation and a student evaluation of the MELD program.

Cape Cod Project

Students in this partnership were recruited through the Cape Cod Literacy Council's Adult Basic Education Collaborative and the Barnstable Community Schools. Counseling services were expanded at Barnstable Community Schools to provide one-on-one educational advisement to intermediate level ESOL students. Volunteer tutors, trained by CCLC, were also matched with these students.

Participants in the CCCC College-Based program were able to access the college counseling center, support services and facilities. No counselor was housed at the CCCC Adult Learning Center; however, the program director also served as the counselor.

Cape Cod MELD students received support at the program level through group activities and individual education plans. Students also participated in workshops on college applications, financial aid and college resources.

Transitional Curriculum

All three partnerships developed internal as well as external transition classes to facilitate movement between levels of instruction. Internal transitions occurred within the CBOs, as students moved from native language literacy to GED or External Diploma programs. External bridges ran from the CBOs to the community college level. The external bridges included academic tracks, technical training and apprentice training.

The **HMSC/Roxbury Community College Project** funded a MELD Level 5 Bridge Class in Reading/Writing and Mathematics. This class emphasized academic ESOL content and provided a more solid foundation for participation in college level coursework. The project also enrolled students in a Roxbury Community College social science course, entitled The Haitian Reality, to provide them with an on-site community college experience. Students who successfully completed this course were offered college credit through the Division of Continuing Education.

After the first pilot participation of MELD students in the Haitian Reality course, the curriculum was revised to include more instruction in college-level research and writing practice. The revised course is referred to as the Level 7 Bridge course in the HMSC/RCC partnership. The project also developed Bridge Math classes at Levels 5 and 7 and benefited from the state-of-the art computer and study skills center at the Haitian Center. Through the Study Center, MELD students learned

word processing, spreadsheet and graphics programs and investigated math software.

In the **Quincy School Community Council, Asian American Civic Association and Bunker Hill Community College** partnership, an accelerated ESOL class was developed at QSCC to increase language proficiency and to prepare students academically for higher level coursework at AACA or BHCC.

In addition, an accelerated ESOL/Intermediate ABE class was also created at AACA to bridge the gap between existing classes, its EDP program, skills training programs, and BHCC. All ESOL classes integrated information on the American College System, Systems Affecting Daily Life, Literature and the Arts and American Culture and Family Life.

All MELD students were required to attend BHCC's Self-Directed Learning Center at least two hours a week to work on math, reading, writing and grammar and to have access to academic counseling, orientations and basic computer literacy training. In addition, students participated in a series of workshops on goal setting, problem solving, community awareness, and health care.

The **Cape Cod** partnership intensified all six levels of the Barnstable Community Schools existing evening ESL program and adding a third evening of ESL instruction. The third evening focused on academic and computer-based skills.

The Cape Cod Project also instituted a college-based transitional component at the CCCC Adult Learning Center. These transitional courses included an ESL intermediate course and a high-intermediate level ESL course integrated with "Microcomputer Applications Software".

A Distance Learning Network was created to serve MELD students at BCS and CCCC and to provide educational services to students in the more remote and rural areas of the Cape. The Network used an on-line customized curriculum that was developed from the NovaNet lesson bank and arranged into customized "modules" that were appropriate for Cape Cod MELD students. Once the custom curriculum was developed, it was very easy for students to access and use the Network system.

The Learning Lab was tied to the NovaNet system so that transitional ESOL students could receive class instruction in reading comprehension, vocabulary and writing as well as supplemental instruction on NovaNet.

The Cape Cod Literacy Council supported the partnership by training volunteer tutors in ESOL, SPL and NovaNet use.

Unexpected Barriers to Success

- **Financial barriers for students.** Some students found it difficult to finance their college education because they had to support families; others had a legal status that prohibited them from applying for financial aid, or found that financial aid did not cover developmental courses.

- **Knowledge of educational opportunities.** Many students are unaware of the advanced educational options available to them. The CBO and the community college should help students become knowledgeable about these options.

- **Inexperience in self-directed learning and inquiry.** Several students found it difficult to function in an independent learning environment where they were responsible for directing their own learning and inquiry.

- **Students lack of time.** Students who were employed or had family commitments identified "time" as a barrier to their participation in the program. On Cape Cod, students had difficulties participating in activities during the summer months. Students worked 2-3 summer jobs in the hotel industry and were unable to attend class.

- **Different organizational/educational structures.** In some cases, the gap between organizational structures or institutional educational services posed a barrier to the integration of students.

- **Solid leadership from the funding institution.** Staff vacancies at the state level made it difficult to provide leadership which resulted in a lack of long-range planning and lack of effective overall project management.

- **Timely and dependable funding.** A delay in initial funding made it difficult to establish functioning partnerships and initiate services for learners. The elimination of third-year funding made it impossible to conduct follow-up studies on MELD graduates.

Student Outcomes

Of the 614 students served in the MELD program, 139 moved to a higher educational level and 79 entered a community college, four-year college or vocational training. Additionally, 20 learners got a high school diploma and 35 made progress at entry level. One hundred and eighty-eight planned to continue their education after the MELD program; and seven students were awarded $1,000 college scholarships by the Boston Adult Literacy Fund.

In addition, many MELD learners had outcomes which are more difficult to quantify, such as developing a joy of learning, enhanced self-esteem and the promise of a future through education. (Chart 3 on page 29 provides a summary of student accomplishments.)

Program Outcomes

Haitian Multi-Service Center/Roxbury Community College

The overall successes and highlights of this partnership included: strong part-time academic counseling; group counseling using a group counseling model; successful learning-to-learn workshops; co-teaching and curriculum development components.

Counseling was performed on an individual and group basis by two part-time Haitian adults. Group counseling was instituted in the project when it became apparent that both counselors could not reach all students individually. In the end, project organizers recommended employing a full-time counselor and making sure that staff members have adequate training in academic rather than social/personal counseling.

The Learning-To-Learn (LTL) system began at Roxbury College prior to the MELD Project. The system was designed to help academically under-prepared students solve the more difficult problems of learning in a more intense academic environment. Under the MELD project, a series of LTL workshops was presented to instructors as a part of the Curriculum Development Team process.

A College Survival Seminar and The Haitian Reality course served as excellent transitional courses for MELD students. The College Survival Seminar was co-taught in French and Kreyol by an RCC instructor and the L-7 MELD counselor. The Haitian Reality course was a content course which gave MELD students an

MASSACHUSETTS ENGLISH LITERACY
DEMONSTRATION PROJECT YEAR II

CHART 3. *Students Served and Student Outcomes for the three MELD Partnerships and totaled across partnerships. These figures are cumulative for Years I and II.*

	CCCC/BCS CCLC	QSCC/AACA BHCC	HMSC/ RCC	TOTAL
STUDENTS SERVED (High Intensity)	62	158	94	314
STUDENTS SERVED (Low Intensity)	118	NA	182	300
			TOTAL	614
MOVED TO HIGHER EDUCATIONAL LEVEL	40	56	43	139
ENTERED EXTERNAL DIPLOMA PROGRAM		3	24	27
ENTERED COMMUNITY OR 4 YR. COLLEGE OR VOCATIONAL TR.	29	27	23	79
GOT H.S. DIPLOMA	1		19	20
PROGRESSED AT ENTRY LEVEL			35	35
EXITED PROGRAM BEFORE COMPLETING	21	42	21	84

opportunity to experience college level instruction in a familiar subject area and comfortable context.

Effective math and language curricula were developed by the HMSC to upgrade the reading, writing and computation skills of MELD students in preparation for External Diploma exams and academic work at the postsecondary level.

Bunker Hill Community College, Quincy School Community Council & Asian American Civic Association

This partnership had one full-time coordinator to work within the partnership coordinating activities. Staff felt that a full-time counselor was essential to the program so JTPA funds were used to support that position. A strong program design enabled the program to attract additional funding.

Partners were geographically close or easily accessible by public transportation. Students were able to move from one delivery site to another with relative ease.

Each of the three partners had prior experience with collaborative, partnership-based projects, including shared responsibility for fiscal management, project management and program staff and resources.

A series of in-house workshops was conducted as part of the counseling component. Workshop topics included: goal setting, problem-solving, community awareness, individual education plans, AIDS and anti-smoking.

Cape Cod Project

Using funds from the town of Barnstable and matching college funds, the Cape Cod Community College established a storefront learning center in Hyannis to house MELD. The **Barnstable Community Schools Component** provided an extra evening of instruction in academic reading, writing, study skills and computer literacy to an existing six-level ESL Program. The addition of the third evening was highly successful. Since students had time to learn computer keyboarding and basic word processing, they finished the program with stronger academic reading, writing and study skills.

The College-Based Transitional Component consisted of a semester of intermediate ESL followed by a semester-long paired course combining high-intermediate ESL with a college level computer course. For some students, this sequence of two courses was enough to bridge the gap needed to continue on to

college or job training. Through MELD the College was able to create two higher level college credit ESL classes. Subsequently, many of the MELD students enrolled in these classes after completing the transitional piece.

The Distance Learning Network was a unique component that enabled ESL providers and students at home around the Cape to access the University of Illinois' NovaNet transitional curriculum as well as the Internet and several bulletin boards. As the result of this project, strong institutional connections were developed among partners, and gaps were bridged for services to students at the higher level of ESOL instruction.

Products Produced

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Massachusetts English Literacy Demonstration Project. Haitian Multi-Service Center/Roxbury Community College Report. (1994).

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Greene, Barbara. **Summary Report on Support and Academic Services at Bunker Hill Community College, Roxbury Community College and Cape Cod Community College.** (1993).

Greene, Barbara. **Report to Massachusetts English Literacy Demonstration Project (MELD).** (1993).

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Guran, H. **Massachusetts English Literacy Demonstration Program 1993/1994 - Cape Cod Partnership - Final Report**. (1994).

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Kiang, Peter. **Research and Reflections on the English Transitional Program**. (1994).

Kirkman, Kathe. **Massachusetts English Literacy Demonstration Project (MELD) Evaluation Report: Year II**. (1995).

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Sullivan, D. **VIDEO: Adult Education Distance Learning Network on Cape Cod**. (1994).

Ziemba, D. & Guran, H. **Snapshots from a Paired College Course: Microcomputer Concepts and Applications & Transitional English as a Second Language**. (1994).

For more information about this project, contact:

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Key Elements of Successful Transitional ESL Programs

Developing effective partnerships for transitioning learners to further education, training, or jobs requires the identification of individuals, programs, or groups who are willing to **share** the responsibility for meeting the educational needs of the community. There is no magic formula for creating educational partnerships. However, the three grant recipients have identified some common elements for creating and maintaining successful transitional ESL programs through partnerships. These elements are not in rank order and are as follows:

Identify the educational needs in the community that should be addressed. Look at what's not working and why.

Create a common mission and vision for how the needs can be addressed. Decide what you wish to achieve in the best of all possible worlds. Think about what can be created, restructured or reorganized to achieve it.

Become advocates for learners both inside and outside of the classroom and within various agencies. Learners will appreciate advocacy efforts to change procedures and requirements that perpetuate barriers to success and will work harder to meet high expectations.

Make a commitment to share responsibility for meeting the needs of the learners. Determine what the institutions can do individually and collaboratively. Discuss their expectations. Find out what steps need to be taken collectively to meet their needs.

Identify adequate resources before the project begins. Decide what each agency is bringing to the table. Determine what resources are missing, how they can be acquired and how they can be sustained.

Encourage program staff to make greater use of available video and computer technology to increase students' exposure to a variety of learning resources and environments.

Seek partnerships that are based on true collaborations with mutually agreed upon plans for establishing and implementing goals, objectives, activities, and outcomes. Project administration and supervision must be strong components of the partnerships.

Establish a counseling component which will provide strong academic support services beginning in the adult learning center and continuing in the community college. Academic counseling is a key to transition and later success in college.

Design a system to support, assess and monitor student academic progress. Utilize tutors and mentors, in addition to staff, to provide support and assistance with counseling efforts.

Include opportunities in the instructional component for cross-teaching, teacher/counselor exchanges, joint classes, interagency student exchanges and joint teacher training activities.

Develop a database component which will provide active, continual documentation of learner characteristics, needs and accomplishments.

Establish effective community linkages to support referrals and the placement of clients in services.

Ensure that the funding agency can provide strong and consistent leadership to the partnership participants.

Ensure that all staff members, volunteers, institutions, agencies and partners understand and agree to the purpose of the transitional program and their role within the program. Provide staff with opportunities to periodically assess and reflect on their participation in the transition process.

Hire an external evaluator to continually review transitional activities for all partners.

Conclusion

Although funding for the project has ended, many of the systems implemented during the funding period have been institutionalized. Furthermore, there is evidence of systemic change in the delivery of services to limited English proficient adults. The transitional projects have built a network of partners who provide an integrated system of services to students seeking to advance in programs or move from one service provider to another.

As the result of Federal funding, the grantees were able to facilitate access to English language instruction, job training, and higher education by moving students along a continuum of learning; bridging the gaps in instruction and services among partners; and gaining knowledge of partner programs and services. All of these activities were made possible through the development of effective collaborations and partnerships with agencies, organizations, businesses and industries which were committed to meeting the language, literacy, and educational needs of adults with limited English speaking skills.

At the minimum, programs can share "lessons learned" in transitional ESL programs and coordinate and collaborate with various agencies and organizations to provide **access to quality** instruction and services. Service providers can then use these lessons in program planning, development and policymaking. Ideally, states can consider developing transitional quality indicators and measures for adult education programs.

English as a Second Language (ESL) is the fastest growing instructional component in the adult education program, representing one third of all participants. With the increasing numbers of learners enrolled in Adult ESL programs and shrinking resources, meeting the language, literacy, and educational needs of this population will continue to be a challenge for some years. These demonstration projects will guide the field in facing this challenge.

Appendices

Summary of ESL Transitional Projects

Name of Grantee	Grantee Type	Location	No. of Providers	Type of Providers	No. of Students Served	Total Federal Funding
Arlington Education & Employment Program	Local Education Agency	Urban	3*	private university community-based organization technical institute	289	$416,451
El Paso Community College	Community College	Urban	11*	community-based organizations technical institute community college institutions and organizations	201	$296,568
Massachusetts Department of Education	State Education Agency	Urban Rural	8	community colleges community-based organizations State Education Agency institutions and organizations	614	$695,968

*excluding grantee

Outcomes data for each of the projects is included in the text. The elimination of third year funding made it impossible to adequately assess learner achievements and to conduct follow-up studies on the programs.

federal register

Wednesday
May 6, 1992

Part IV

Department of Education

National English Literacy Demonstration Program for Individuals of Limited English Proficiency; Final Priorities for FY 1992 and Invitation for Applications for FY 1992; Notices

BEST COPY AVAILABLE

DEPARTMENT OF EDUCATION

National English Literacy Demonstration Program for Individuals of Limited English Proficiency

AGENCY: Department of Education.

ACTION: Notice of final priorities for fiscal year 1992.

SUMMARY: The Secretary announces priorities for awards to be made in fiscal year (FY) 1992 using funds appropriated in FY 1991 under the National English Literacy Demonstration Program. Under an absolute priority, Federal financial assistance will be used to create partnerships among service providers to develop and implement transitional programs in English literacy. The proposed partnerships must include at least one community-based organization and at least one community college or technical institute, but may also include other public or private nonprofit agencies, institutions or organizations. Within the same competition, under a competitive preference, up to 30 additional points will be awarded to transitional projects that include certain key components.

EFFECTIVE DATE: The provisions in this notice take effect either 45 days after publication in the Federal Register or later if the Congress takes certain adjournments. If you want to know the effective date, call or write the Department of Education contact person.

FOR FURTHER INFORMATION CONTACT: Laura Karl Messenger, U.S. Department of Education, 400 Maryland Avenue, SW., room 4512–MES, Washington, DC 20202–7327. Telephone: (202) 732–2365. Deaf and hearing impaired individuals may call the Federal Dual Party Relay Service at 1–800–877–8339 (in the Washington, DC 202 area code, telephone 708–9300) between 8 a.m. and 7 p.m., Eastern time.

SUPPLEMENTARY INFORMATION: In accordance with section 372(d), Part C, Adult Education Programs, the purpose of the National English Literacy Demonstration Program for Individuals of Limited English Proficiency is to develop innovative approaches and methods of English literacy education. These approaches and methods must be designed to help limited English proficient adults and out-of-school youth to achieve full competence in the English language, and should be based on current research on effective and innovation programs for limited English proficient adults.

As studies about literacy programs suggest, English literacy programs that help limited English proficient adults to realize both their employment and educational goals are more effective in increasing English proficiency than those programs that lack these mutually reinforcing relationships. Transitional English literacy programs coordinate services among English-as-a Second-Language (ESL) instructional levels and among service providers. Their purposes are to:

(1) Help limited English proficient adults and out-of-school youth make the transition from one instructional level to another, and from one instructional service provider to another; and

(2) Prepare them for the literacy demands of vocational education, college transfer, or college credit programs.

Transitional English literacy programs provide a broad range of instruction. A partnership among service providers is necessary because one service provider often provides a different level of English literacy instruction than another. Community-based organizations, community colleges, and technical institutes are specifically identified for inclusion in the partnership because they have often represented opposite ends of the English literacy instructional spectrum. Community-based organizations tend to provide beginning levels of ESL and literacy instruction, while community colleges and technical institutes tend to provide more advanced levels of ESL instruction that prepare individuals for participation in vocational or other academic programs. In many locales, it is likely that other service providers will also be included in the partnership, to ensure that all appropriate service providers will work together to provide a well-coordinated English literacy demonstration program. However, the Secretary believes that the participation of at least one community-based organization and at least one community college or technical institute is essential for each project.

Within the absolute priority for partnerships providing transitional programs in English literacy, the Secretary establishes a competitive preference for projects containing certain key components. These components are identified in this notice under the heading "Selection Criterion." From the demonstration projects that are funded, the Secretary hopes to derive new methods or approaches in program design, coordination of services, and English literacy instruction.

Note: The Adult Education Act authorizes the use of funds exclusively for adult education. Because the Act does not authorize the use of funds for vocational education, college transfer, or college credit programs, instruction for these purposes is not permitted under this program. Only those instructional methods or approaches designed to prepare limited English proficient individuals for participation in these programs or to increase their English literacy skills while they are enrolled in these programs are allowed.

The Secretary wishes to highlight, for potential applicants, that this program can help to further the purposes of AMERICA 2000, the President's education strategy to help America move itself toward the National Education Goals. Specifically, the program addresses Track III of the AMERICAN 2000 strategy—Transforming America into "A Nation of Students"—and National Education Goal 5—ensuring that every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.

On November 19, 1991, the Secretary published a notice of proposed priorities for this program in the Federal Register (56 FR 58480).

Note: This notice of final priorities does not solicit applications. A notice inviting applications under this competition is published in a separate notice in this issue of the Federal Register.

Analysis of Comments and Changes

In response to the Secretary's invitation in the notice of proposed priorities, 19 parties submitted comments on the proposed notice. Three commenters supported the priorities as written and recommended no change. An analysis of all other comments follows:

Partnership Requirement

Comments: Fourteen commenters addressed the absolute priority requiring that eligible applicants propose a partnership involving at least one community-based organization and at least one community college or technical institute. Eight commenters asserted that local educational agencies should be both eligible applicants and eligible partners. Other commenters suggested that partnerships should also include four-year institutions of higher education, employment and training agencies or organizations, or any combination of an expanded list of eligible applicants that would include these entities. One commenter recommended that the priority be for a partnership between a community-based organization and any educational entity.

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Discussion: The proposed priority would not exclude any of the above-mentioned entities from submitting an application or participating as a partner under this program. At a minimum, however, a partnership would have to include at least one community-based organization and at least one community college or technical institute. The Secretary believes that the presence of these two kinds of entities in a partnership is essential to ensure that participants are provided with a broad continuum of ESL instructional services.

Changes: None.

Definition of Transitional Program

Comments: Four commenters asked for a definition of "transitional English literacy programs". One commenter felt the term "comprehensive adult English-as-a-Second-Language" or "sheltered English as-a-Second-Language" should be used to describe the program rather than "transitional English literacy" program. Another commenter stated that English literacy students are several levels away from being ready to transition into regular (credit) community college classes. Another commenter asked whether the term "transitional" meant transition from native language literacy to oral ESL, transition from ESL literacy to regular ESL beginning levels, or transition from ESL to academic or vocational study.

Discusssion: Transitional English literacy programs create a continuum of services across the ESL instructional spectrum, and may include native language literacy instruction through ESL preparation for academic or vocational study. Their purpose is to prepare participants for advancement from one instructional level to another. In many locales, the separate, sometimes disparate parts of a transitional English literacy program may already exist. What these separate programs lack is a transitional ESL curriculum that bonds the programs together into a total continuum of ESL instructional services. The Secretary anticipates that the partnership among service providers will foster the coordination of services that is necessasry to develop and implement an effective transitional English literacy program.

Changes: None.

Individualized Education Plan

Comments: One commenter asserted that while an individualized education plan may be desirable for each program participant, it is not realistic to expect programs not receiving Federal demonstration funds to provide this service, as very few adult programs have access to counseling services.

Discussion: As transitional English literacy programs create a continuum of ESL instructional services and prepare participants for advancement from one instructional level to another, participants most likely will enter the program at different points along the ESL instructional continuum. Consequently, transitional English literacy programs must be designed to meet the different English literacy needs of each participant. By referencing an individualized education plan in the selection criterion for the competitive preference, the Secretary acknowledges that English literacy students are a diverse group with varied learning styles and educational needs. Further, since preliminary data from the National Evaluation of Adult Education Programs study indicate that 91 percent of adult education programs offer counseling as a support service, the Secretary believes the use of individualized education plans can be an important and feasible component of effective transitional English literacy programs.

Changes: None.

Research and Development

Comments: Two commenters expressed concern that the program does not appear to allow for research and development efforts to advance the field of ESL. One commenter recommended that the program emphasize the development of models of assessment criteria for placement into and exit from one program and entrance into another.

Changes: The competitive preference calls for the development of a transitional ESL curriculum that is content-based, and that facilitates a smooth transition among instructional levels and service providers. Inherent in the development of an effective transitional ESL curriculum is the need for criteria to assess participants' progress. The Secretary agrees, however, that the competitive preference should be clear on this point.

Changes: The criterion for the competitive preference has been expanded to include a component on use of measures for assessing participants' transition through the various levels and components of the proposed program.

Selection Criteria

Comments: Three commenters recommended selection criteria for this program. They recommended that the selection criteria include a criterion for evaluation, use of current research, and institutional experience with ESL populations.

Discussion: The Secretary will use all the selection criteria published in 34 CFR part 435 of the Adult Education Act regulations to evaluate applications submitted under this competition. Because these published selection criteria already include evaluation, use of current research, and institutional experience with ESL populations, no change is necessary to address the commenters' concerns.

Changes: None.

Use of Current Research

Comments: One commenter recommended the Secretary require that the approaches and methods proposed under this program be based on current research on effective and innovative education for language minority adults.

Discussion: The Secretary agrees that applicants should be encouraged to consider current research findings in the field, but does not think it would be appropriate to include such a general requirement.

Changes: Under the Supplementary Information section of this notice, the Secretary encourages applicants to consider current research findings on effective and innovative education for limited English proficient adults in designing their projects.

Terminology

Comments: One commenter recommended that the term "English literacy" be changed to "English competence", as most limited English proficient students need to improve their oral communication skills as well as their reading, writing and grammar skills.

Discussion: The term "English literacy" is used in the statutory title of this program. "English literacy program" is defined in section 312 of the Adult Education Act as: "a program of instruction designed to help limited English proficient adults, out-of-school youth, or both, achieve full competence in the English language." The Secretary believes that the term "full competence" includes speaking, listening, reading, and writing.

Changes: None.

Target Population

Comments: One commenter requested that the program's target population be expanded to include newly immigrated youth who are not yet in school or who are on summer vacation.

Discussion: The Adult Education Act, which authorizes this program, defines an adult as an individual who has

attained 16 years of age or who is beyond the age of compulsory school attendance under applicable State law. It also contains definitions of "adult education" and "out-of-school" youth. To the extent that newly immigrated youth meet these definitions they would be eligible. The Secretary does not interpret these definitions to include youth who are not enrolled in school simply because school is not in session.

Changes: None.

Priorities

Absolute Priority

Under 34 CFR 75.105(c)(3) and section 372(d), part C of the Adult Education Act, the Secretary gives preference to applications that meet the following priority. The Secretary funds under this competition only applications that propose partnerships among service providers to develop and implement a transitional English literacy demonstration program. A transitional English literacy demonstration program coordinates services among ESL instructional levels and among service providers. Its purpose is to: (1) Help limited English proficient adults and out-of-school youth make the transition from one instructional level to another, and from one instructional service provider to another; and (2) prepare them for the literacy demands of vocational education, college transfer, or college credit programs. Eligible applicants for the National English Literacy Demonstration Program include public or private non-profit agencies, institutions, or organizations. Under this absolute priority, any eligible entity may apply. However, it must propose a partnership involving at least one community-based organization and at least one community college or technical institute. Note that because community-based organizations, community colleges, and technical institutes are themselves public or private non-profit agencies or institutions, they are eligible to submit an application as a partnership among themselves. Partnerships must be structured in accordance with 34 CFR 75.127–29. All partners must enter into a signed agreement, detailing the activities that each partner plans to perform, designating one partner to act as the applicant on behalf of the partnership, and binding each partner to the statements and assurances made by the applicant in the application.

Competitive Preference

Under 34 CFR 75.105(c)(2)(i) and section 372(d), part C of the Adult Education Act, the Secretary gives preference to transitional projects that include the key components listed in this notice under the heading "Selection criterion." The Secretary awards up to 30 points to an application that meets this competitive preference in a particularly effective way. These points are in addition to any points the application earns under the selection criteria for the program.

Selection Criterion

The following selection criterion will be used to determine the extent to which a project responds to the competitive preference.

Projects that develop and implement a transitional English literacy program must include the following key components:

(1) Outreach efforts that identify those limited English proficient adults and out-of-school youth who are most in need of English literacy programs.

(2) An individualized education plan for each program participant, based on individual assessment and counseling.

(3) A transitional ESL curriculum that is content-based, and that facilitates a smooth transition among instructional levels and service providers.

(4) Use of measures for assessing each participant's transition through the various levels and components of the proposed program.

(5) Support services and retention strategies throughout all phases of the program.

(6) Coordination of services among all service providers.

Intergovernmental Review

This program is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. The objective of the Executive order is to foster an intergovernmental partnership and a strengthened federalism by relying on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

In accordance with the order, this document is intended to provide early notification of the Department's specific plans and actions for this program.

Applicable Program Regulations: 34 CFR parts 425 and 435.

Program Authority: 20 U.S.C. 1211e(d), *et seq.*

(Catalog of Federal Domestic Assistance Number 84.223A National English Literacy Demonstration Program for Individuals of Limited English Proficiency)

Dated: April 9, 1992.

Lamar Alexander,

Secretary of Education.

[FR Doc. 92-10503 Filed 5-5-92; 8:45 am]

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DEPARTMENT OF EDUCATION

[CFDA No.: 84.223]

National English Literacy Demonstration Program for Individuals of Limited English Proficiency; Notice Inviting Applications for Fiscal Year (FY) 1992 Funds

Note to Applicants: This notice is a complete application package. Together with the statute authorizing the program and applicable regulations governing the program, including the Education Department General Administrative Regulations (EDGAR), the notice contains all of the information, application forms, and instructions needed to apply for a grant under this competition.

Purpose of Program: The National English Literacy Demonstration Program for Individuals of Limited English Proficiency provides financial assistance for the development of innovative approaches and methods used in English literacy programs for individuals of limited English proficiency. The Secretary wishes to highlight, for potential applicants, that this program can help to further the purposes of AMERICA 2000, the President's education strategy to help America move itself toward the National Education Goals. Specifically, the program adresses Track III of the AMERICA 2000 strategy—Transforming America into "A Nation of Students"—and National Education Goal 5—ensuring that every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.

Eligible Applicants: Public or private nonprofit agencies, institutions, or organizations. However, applicants are directed to the notice of final priorities for this program, published elsewhere in this issue of the Federal Register, which gives a more complete statement of eligibility requirements.

Deadline for Transmittal of Applications: June 8, 1992.

Deadline for Intergovernmental Review: August 7, 1992.

Available Funds: $606,987.

Estimated Range of Awards: $150,000—$316,000.

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Estimated Average Size of Awards: $233,000.

Estimated Number of Awards: 3.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR Part 74 (Administration of Grants to Institutions of Higher Education, Hospitals and Nonprofit Organizations).

(2) 34 CFR Part 75 (Direct Grant Programs).

(3) 34 CFR Part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities).

(5) 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments).

(6) 34 CFR Part 81 (General Education Provisions Act—Enforcement).

(7) 34 CFR Part 82 (New Restrictions on Lobbying).

(8) 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).

(9) 34 CFR Part 86 (Drug-Free Schools and Campuses).

(b) The regulations for this program in 34 CFR part 435.

Priorities: The priorities in the notice of final priorities for this program, as published elsewhere in this issue of the **Federal Register**, apply to this competition.

Selection Criteria: The Secretary uses the following selection criteria to evaluate applications for new grants under this competition.

The maximum score for all of these criteria is 100 points.

The maximum score for each criterion is indicated in parentheses. The Secretary assigns the 15 points, reserved in 34 CFR 435.20(b), as follows: 10 additional points to the selection criterion in 34 CFR 435.21(c) (Plan of operation) for a total of 30 points for that criterion; and 5 additional points to the selection criterion in 34 CFR 435.21(g) (Budget and cost effectiveness) for a total of 10 points for that criterion.

(a) *Extent of need for the project.* (15 points) The Secretary reviews each application to determine the extent to which the project meets specific needs, including consideration of—

(1) The need for the innovative approaches and methods of English literacy education for individuals of limited English proficiency that the project proposes to develop;

(2) How the needs were identified; and

(3) How the project will meet the needs.

(b) *Project objectives.* (10 points) The Secretary reviews each application to determine the extent to which the project objectives—

(1) Relate to the innovative approaches and methods of English literacy education for individuals of limited English proficiency proposed for use in the project;

(2) Are clearly stated;

(3) Are measurable; and

(4) Describe appropriate outcomes.

(c) *Plan of operation.* (30 points) The Secretary reviews each application to determine the quality of the plan of operation for the project including—

(1) The quality of the project design and how it incorporates the use of new instructional methods and technologies;

(2) The extent to which the management plan is well-designed and ensures proper and efficient administration of the project;

(3) The quality of the applicant's plan to use its resources and personnel to achieve each objective; and

(4) How the applicant will select project participants and ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, gender, age, or handicapping condition.

(d) *Evaluation.* (15 points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the applicant's methods of evaluation—

(1) Are appropriate to the project;

(2) To the extent possible, are objective and produce data that are quantifiable;

(3) Contribute to the possible replication of the project; and

(4) To the extent possible, include a third party evaluation.

(e) *Quality of key personnel.* (15 points)

(1) The Secretary reviews each application to determine the quality of key personnel the applicant plans to use on the project, including—

(i) The qualifications of the director and other key personnel to be used in the project, particularly as their experience and expertise relate to English literacy and training in English-as-a-second-language for adults;

(ii) The appropriateness of the time that each person referred to in paragraph (e)(1)(i) of this section will commit to the project; and

(iii) How the applicant, as part of its nondiscriminatory employment practices, will ensure that personnel will be selected without regard to race, color, national origin, gender, age, or handicapping condition.

(2) To determine personnel qualifications under paragraphs (e)(1)(i) and (ii), the Secretary considers—

(i) Experience and training in fields related to the objectives of the project;

(ii) Experience and training in project management; and

(iii) Any other qualifications that pertain to the quality of the project.

(f) *Institutional commitment.* (5 points) The Secretary reviews each application to determine the extent to which the applicant's agency, institution, or organization—

(1) Has experience in providing English literacy services for individuals of limited English proficiency;

(2) Will provide appropriate resources; and

(3) Will provide adequate facilities, equipment, and supplies.

(g) *Budget and cost effectiveness.* (10 points) The Secretary reviews each application to determine the extent to which—

(1) The budget is adequate to support the project; and

(2) Costs are reasonable in relation to the objectives of the project.

Additional factors: In making awards under this program, the Secretary considers, in addition to the selection criteria, whether funding a particular application would contribute to the funding of a variety of approaches and methods.

Intergovernmental Review of Federal Programs: This program is subject to the requirements of Executive Order 12373 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applications must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive Order. If you want to know the name and address of any State Single Point of Contact, see the list

published in the Federal Register on April 2, 1992 (57 FR 11354).

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address: The Secretary, E.O. 12372—CFDA 84.223, U.S. Department of Education, Room 4161, 400 Maryland Avenue, SW., Washington, DC 20202-0125.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern time) on the date indicated in this notice.

Please note that the above address is not the same address as the one to which the applicant submits its completed application. *Do not send applications to the above address.*

Instructions for Transmittal of Applications: (a) If an applicant wants to apply for a grant, the applicant shall—

(1) Mail the original and six copies of the application on or before the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA# 84.223), Washington, DC 20202-4725 or

(2) Hand deliver the original and six copies of the application by 4:30 p.m. (Eastern time) on the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA# 84.223), room #3633, Regional Office Building #3, 7th and D Streets, SW., Washington, DC 20202-4725.

(b) An applicant must show one of the following as proof of mailing:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary.

(c) If an application is mailed through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

Notes: (1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

(2) The Application Control Center will mail a Grant Application Receipt Acknowledgement to each applicant. If an applicant fails to receive the notification of application receipt within 15 days from the date of mailing the application, the applicant should call the U.S. Department of Education Application Control Center at (202) 708-9494.

(3) The applicant *must* indicate on the envelope and—if not provided by the Department—in Item 10 of the Application for Federal Assistance (Standard Form 424) the CFDA number—and suffix letter, if any—of the competition under which the application is submitted.

Application Instructions and Forms: To apply for an award under this program competition, your application must be organized in the following order and include the following five parts:

Part I: Application for Federal Assistance (Standard Form 424 (Rev. 4-88)).

Part II: Budget Information.

Part III: Budget Narrative.

Part IV: Program Narrative.

Part V: Additional Assurances and Certifications:

a. Assurances—Non-Construction Programs (Standard Form 424B).

b. Certification regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013) and Instructions.

c. Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions (ED 80-0014, 9/90) and Instructions.

(Note: The grantee should keep this form on file. It should not be transmitted to the Department.)

d. Disclosure of Lobbying Activities (Standard Form LLL) (if applicable) and Instructions, and Disclosure of Lobbying Activities Continuation Sheet (Standard Form LLL-A).

All forms and instructions are included as appendix A of this notice. Questions and answering pertaining to this program are included, as appendix B, to assist potential applicants.

All applicants must submit ONE original signed application, including ink signatures on all forms and assurances and SIX copies of the application. Please mark each application as original or copy. Local or State agencies may choose to submit two copies with the original.

No grant may be awarded unless a complete application form has been received. (20 U.S.C. 1241-1391)

For Further Information Contact: Laura Karl Messenger, U.S. Department of Education, 400 Maryland Avenue, SW. (Room 4512—MES), Washington, DC 20202-7242. Telephone (202) 732-2385. Deaf and hearing impaired individuals may call the Federal Dual Party Relay Service at 1-800-877-8339 (in the Washington, DC 202 area code, telephone 708-9300) between 8 a.m. and 7 p.m., Eastern time.

Program Authority: 20 U.S.C. 1221a(d).

Dated: April 29, 1992.

Betsy Brand,

Assistant Secretary, Office of Vocational and Adult Education.

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OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:
Application: ☐ Construction ☒ Non-Construction
Preapplication: ☐ Construction ☐ Non-Construction

5. APPLICANT INFORMATION

Legal Name: | Organizational Unit:

Address (give city, county, state, and zip code): | Name and telephone number of the person to be contacted on matters involving this application (give area code):

6. EMPLOYER IDENTIFICATION NUMBER (EIN): ☐☐ — ☐☐☐☐☐☐☐

7. TYPE OF APPLICANT: (enter appropriate letter in box) ☐
A. State — H. Independent School Dist.
B. County — I. State Controlled Institution of Higher Learning
C. Municipal — J. Private University
D. Township — K. Indian Tribe
E. Interstate — L. Individual
F. Intermunicipal — M. Profit Organization
G. Special District — N. Other (Specify) _____

8. TYPE OF APPLICATION:
☒ New ☐ Continuation ☐ Revision
If Revision, enter appropriate letter(s) in box(es): ☐ ☐
A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify):

9. NAME OF FEDERAL AGENCY:
U.S. Department of Education

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 8 4 . 2 2 3
TITLE: National English Literacy Demonstration Program for Individuals of Limited English Profiency

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT: Start Date | Ending Date

14. CONGRESSIONAL DISTRICTS OF: a. Applicant | b. Project

15. ESTIMATED FUNDING:

a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. TOTAL	$	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
DATE _____
b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
☐ Yes If "Yes," attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

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Standard Form 424 (REV 4-88)
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INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided. — "New" means a new assistance award. — "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. — "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

SF 424 (REV 4-88) Back

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PART II - BUDGET INFORMATION

SECTION A - Budget Summary by Categories

	A	B	C
1. Personnel			
2. Fringe Benefits (Rate %)			
3. Travel			
4. Equipment			
5. Supplies			
6. Contractual			
7. Other			
8. Total, Direct Cost (lines 1 through 7)			
9. Indirect Cost (Rate %)			
10. Training Costs/Stipends			
11. TOTAL, Federal Funds Requested (lines 8 through 10)			

SECTION B - Cost Sharing Summary (if appropriate)

	A	B	C
1. Cash Contribution			
2. In-Kind Contribution (only costs specifically for this project)			
3. TOTAL, Cost Sharing (Rate %)			

NOTE: For FULLY-FUNDED PROJECTS use Column A to record the first 12-month budget period; Column B to record the remaining months of the project; and Column C to record the total.

For MULTI-YEAR PROJECTS use Column A to record the first 12-month budget period; Column B to record the second 12-month budget period; and Column C to record the third 12-month budget period.

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SECTION C - Budget Estimates (Federal Funds Only) For Balance of Project

Budget Periods			
Second	Third	Fourth	Fifth
—			

INSTRUCTIONS FOR PART II - BUDGET INFORMATION

SECTION A - Budget Summary by Categories

1. Personnel: Show salaries to be paid to project personnel.

2. Fringe Benefits: Indicate the rate and amount of fringe benefits.

3. Travel: Indicate the amount requested for both inter- and intra-State travel of project staff. Include funds for at least one trip for two people to attend a project director's meeting in Washington, D.C.

4. Equipment: Indicate the cost of non-expendable personal property that has a useful life of more than one year and a cost of $300 or more per unit ($5,000 or more if State, Local, or Tribal Government).

5. Supplies: Include the cost of consumable supplies and materials to be used during the project.

6. Contractual: Show the amount to be used for (1) procurement contracts (except those which belong on other lines such as supplies and equipment; and (2) sub-contracts.

7. Other: Indicate all direct costs not clearly covered by lines 1 through 6 above, including consultants.

8. Total, Direct Cost: Show the total for lines 1 through 7.

9. Indirect Costs: Indicate the rate and amount of indirect costs. NOTE: For training grants, the indirect cost rate cannot exceed 8%.

10. Training/Stipend Cost: (if allowable)

11. TOTAL, Federal Funds Requested: Show total for lines 8 through 10.

SECTION B - Cost Sharing Summary

Indicate the actual rate and amount of cost sharing when there is a cost sharing requirement. If cost sharing is required by program regulations, the local share required refers to a percentage of TOTAL PROJECT COST, not of Federal funds.

SECTION C - Budget Estimates (Federal Funds Only) for Balance of Project

If the project period exceeds 12 months, include cost estimates for the continuation budget periods, as appropriate. This SECTION does not apply to projects that are full-funded.

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Instructions for Part III—Budget Narrative

The budget narrative should explain, justify, and, if needed, clarify your budget summary. For each line item (personnel, fringe benefits, travel, etc.) in your budget, explain why it is there and how you computed the costs.

Please limit this section to no more than five pages. Be sure that each page of your application is numbered consecutively.

Instructions for Part IV—Program Narrative

The program narrative will comprise the largest portion of your application. This part is where you spell out the who, what, when, where, why, and how of your proposed project.

Although you will not have a form to fill out for your narrative, there is a format. This format is the selection criteria. Because your application will be reviewed and rated by a review panel on the basis of the selection criteria, your narrative should follow the order and format of the criteria.

Before preparing your application, you should carefully read the legislation and regulations of the program, eligibility requirements, information on any priority set by the Secretary, and the selection criteria for this competition.

Your program narrative should be clear, concise, and to the point. Begin the narrative with a one page abstract or summary of your proposed project. Then describe the project in detail, addressing each selection criterion in order.

The Secretary strongly suggests that the applicant limit the program narrative to no more than 30 double-spaced typed pages (on one side only), although the Secretary will consider applications of greater length. Be sure to number consecutively ALL pages in your application.

You may include supporting documentation as appendices. Be sure that this material is concise and pertinent to this program competition.

Applicants are advised that: (a) The Department considers only information contained in the application in ranking applications for funding consideration. Letters of support sent separately from the formal application package are not considered in the review by the technical review panels. (34 CFR 75.217)

(b) The technical review panel evaluates each application solely on the basis of the established technical review criteria. Letters of support contained in the application will strengthen the application only insofar as they contain commitments that pertain to the established technical review criteria, such as commitment and resources.

Additional Materials

Instructions for Estimated Public Reporting Burden

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. Public reporting burden for this collection of information is estimated to average 90 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. You may send comments regarding this burden to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project, OMB 1830-0514, Washington, DC 20503. (Information collection approved under OMB control number 1830-0514. Expiration date: 8/30/92)

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OMB Approval No. 0348-0040

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.

Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

Standard Form 424B (4-88)
Prescribed by OMB Circular A-102

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10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

SF 424B (4-88) Back

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CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 —

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office

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Building No. 3, Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

_____

_____

_____

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.620 and 85.630 –

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, US. Department of Education, 400 Maryland Avenue, S.W. (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013, 6/90 (Replaces ED 80-0008, 12/89, ED Form GCS-008, (REV. 12/88), ED 80-0010, 3/90, and ED 80-0011, 3/90, which are obsolete)

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Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV. 12/88), which is obsolete)

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DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action: ☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: ☐ a. bid/offer/application b. initial award c. post-award	3. Report Type: ☐ a. initial filing b. material change For Material Change Only: year _____ quarter ____ date of last report _____
4. Name and Address of Reporting Entity: ☐ Prime ☐ Subawardee Tier ____, if known: Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: $	
10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
11. Amount of Payment (check all that apply): $ _____ ☐ actual ☐ planned	13. Type of Payment (check all that apply): ☐ a. retainer ☐ b. one-time fee ☐ c. commission ☐ d. contingent fee ☐ e. deferred ☐ f. other; specify: _____	
12. Form of Payment (check all that apply): ☐ a. cash ☐ b. in-kind; specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: ☐ Yes ☐ No		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL

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INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind consideration, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

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DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

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Standard Form - LLL-A

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Appendix B

Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants the Department has assembled the following most commonly asked questions.

Q. Can we get an extension of the deadline?

A. No. A closing date may be changed only under extraordinary circumstances. Any change must be announced in the Federal Register and apply to all applications. Waivers for individual applications cannot be granted regardless of the circumstances.

Q. How many copies of the application should I submit and must they be bound?

A. Our new policy calls for an original and six copies to be submitted. The binding of applications is optional.

Q. May we use this same application to compete for funds under a different grant program?

A. Yes, however, the likelihood of success is not good. A properly prepared application must meet the specifications of the grant program to which it is submitted.

Q. I'm not sure which grant program is most appropriate for my project. What should I do?

A. We are happy to discuss any questions with you and provide clarification on the unique elements of the various grant programs.

Q. Will you help us prepare our application?

A. We are happy to provide general program information. Clearly, it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about application requirements, evaluation criteria, and the priorities. Applicants should understand that this previous contact is not required, nor will it in any way influence the success of an application.

Q. When will I find out if I'm going to be funded?

A. You can expect to receive notification within 3 to 4 months of the application closing date, depending on the number of applications received and the number of grant programs with closing dates at about the same time.

Q. Once my application has been reviewed by the review panel, can you tell me the outcome?

A. No. Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, because final funding decisions have not been made at that point, we cannot share information about the review with anyone.

Q. Will my application be returned if I am not funded?

A. We no longer return unsuccessful applications. Thus, applicants should retain at least one copy of the application.

Q. Can I obtain copies of reviewers' comments?

A. Upon written request, reviewers' comments will be mailed to unsuccessful applicants.

Q. Is travel allowed under these projects?

A. Travel associated with carrying out the project is allowed. Because we may request the project director of funded projects to attend an annual project directors meeting, you may also wish to include a trip or two to Washington, D.C. in the travel budget. Travel to conferences is sometimes allowed when it is for purposes of dissemination.

Q. If my application receives high scores from the reviewers, does that mean that I will receive funding?

A. Not necessarily. It is often the case that the number of applications scored highly by the reviewers exceeds the dollars available for funding projects under a particular competition. The order of selection, which is based on the scores of all the applications and other relevant factors, determines the applications that can be funded.

Q. What happens during negotiations?

A. During negotiations technical and budget issues may be raised. These are issues that have been identified during the panel and staff reviews that require clarification. Sometimes issues are stated as "conditions." These are issues that have been identified as so critical that the award cannot be made unless those conditions are met. Questions may also be raised about the proposed budget. Generally, these issues are raised because there is inadequate justification or explanation of a particular budget item, or because the budget item seems unimportant to the successful completion of the project. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the project activities, you may explain why and provide additional justification for the proposed expenses. An award cannot be made until all negotiation issues have been resolved.

Q. How do I provide an assurance?

A. Except for SF-424B, "Assurances—Non-Construction Programs," which must be completed, simply state in writing that you are meeting a proscribed requirement.

Q. Where can copies of the Federal Register, program regulations, and Federal statutes be obtained?

A. Copies of these materials can usually be found at your local library. If not, most can be obtained from the Government Printing Office by writing to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. Telephone: (202) 783-3238. When requesting copies of regulations or statutes, it is helpful to use the specific name, public law number, or part number. The material referenced in this notice should be referred to as follows:

(1) Adult Education Act, as amended by the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988 (Pub. L. 100-297).

(2) 34 CFR Part 435 (National English Literacy Demonstration Program for Individuals of Limited English Proficiency).

(3) 34 CFR parts 1-299.

[FR Doc. 92-10504 Filed 5-5-92; 8:45 am]
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Appendix C

Selected Resource Information

California Department of Education, **SLIAG Model Transition Project: Excellence In Adult Education for Adults.** Sacramento, CA, 1993.

Clearinghouse on Adult Education and Literacy. **Selected Resources for Adult ESL and Literacy Instruction**. Washington, DC: U.S. Department of Education, 1994.

Todd, Annick and Leonard Terrible. **Transition for Hispanic ABE/ESL Population**. Eugene, OR: Lane Community College, 1993.

U.S. Department of Education and National Alliance of Business. **Building Partnerships Between Literacy Volunteer and Adult Education Programs: A Guide to Effective Transition Strategies.** Washington, DC. 1994.

U.S. Department of Education and National Alliance of Business. **Transitions: Building Partnerships Between Literacy Volunteer and Adult Education Programs: Background Papers From the National Conference.** Washington, DC. 1994.

Wiley, T. **Access, Participation and Transition in Adult ESL: Implications for Policy and Practice**. Southport, CT: Southport Institute for Policy Analysis, 1993.

Wrigley, Heide Spruck. **Meeting the Challenges of Transition: Perspectives on the REEP/AALS Transition Projects,** Outside Evaluator, 1994.

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